

<b>Notice of Allowability</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/465,143	TIGHE, RODGER W.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Chau Nguyen	2176	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 11/22/2004.
2. ☒ The allowed claim(s) is/are 1-6,8,9,11-46,48 and 50-52.
3. ☒ The drawings filed on 16 November 1999 are accepted by the Examiner.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All    b) ☐ Some\*    c) ☐ None    of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
6. ☐ CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.
  - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review ( PTO-948) attached
    - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
  - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
7. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |   |  |
|---|--|
| 1. <input type="checkbox"/> Notice of References Cited (PTO-892)  | 5. <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)            |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                | 6. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date _____. |
| 3. <input type="checkbox"/> Information Disclosure Statements (PTO-1449 or PTO/SB/08),<br>Paper No./Mail Date _____ | 7. <input checked="" type="checkbox"/> Examiner's Amendment/Comment                    |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material          | 8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance   |
|   | 9. <input type="checkbox"/> Other _____.   |

### EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Louis Dujmich, Applicant's representative on 01/07/2005.

1. (Currently Amended) A system for automated drafting of a customized document, the system interfacing with a word processing application having a plurality of word processing functionalities and with a data base having a plurality of data base functionalities, the system comprising:

- a user interface and controller comprising a programming environment having a plurality of programming functionalities;

- the user interface and controller interfacing with a user by presenting a sequence of requests to the user so that the user provides information necessary to prepare the document;

- the user interface and controller communicating with the data base whereby the data base supplies first and second data stored in the data base to the user interface and controller, the first data being provided to the user interface and controller for providing a format for the requests to the user and the second data being provided to the user interface and controller for preparing text in the document;

- the user interface and controller and the word processing application communicating so that the user interface and controller controls the word processing application to prepare and generate the document, the user interface and controller

using combinations of the programming functionalities to prepare and generate the document;

wherein the user interface and controller comprises a program for providing the sequence of requests to the user to obtain the information from the user for the preparation of the document and further for manipulating the document using the word processing application in response to the information received from the user and the second data from the data base to draft the contents of the document, and further wherein the sequence of requests is dynamically altered by the program in response to the information provided in response to previous requests, the program determining the next request of the dynamically alterable sequence of requests to be provided to the user and when and how to manipulate the document to draft the contents of the document, the sequence of requests being such that each request is the logical extension of information provided by the user in response to previous requests and each request that is not the logical extension of information provided by the user in response to previous requests is omitted;

further wherein the sequence of requests is presented to the user by screen displays from a plurality of screen displays comprising a plurality of forms presenting the requests to the user;

further wherein the screen displays each having a specified format, the format of at least one form comprising at least one dynamically alterable request and an entry area for responding to the at least one request; and further

wherein the data base comprises a plurality of alternative provisions for the document, and wherein the program evaluates the alternative provisions in response to information provided by the user in response to the requests to determine which of the provisions to display in a form of the plurality of forms; and

wherein the program dynamically alters the document in response to information provided by the user in response to the sequence of requests to modify the document to present the information provided by the user.

2. (Original) The system of claim 1, further wherein the user interface and controller directly manipulates the document to prepare and generate the document.

3. (Original) The system of claim 1, wherein the word processing application includes a template containing text that is unaltered as well as at least one location in the template defining a location in the document for the insertion of text into the document by the word processing application.

4. (Original) The system of claim 1, wherein the data base provides said second data to the user interface and controller in response to commands from the user interface and controller, the user interface and controller inserting said second data into the document either directly or by instructing the word processing application.

5. (Original) The system of claim 1, further wherein the data base provides said second data to the word processing application in response to commands from the user interface and controller, the word processing application inserting said second data into the document.

6. (Original) The system of claim 1, further wherein the data base provides said second data directly into the document in response to commands from the user interface and controller.

7. (Canceled)

8. (Currently Amended) The system of claim ~~7~~1, wherein the first data provided by the data base to the user interface and controller for providing a format for the requests to the user comprises data used in determining the form of the plurality of forms displayed and the content of the form displayed to solicit information from the user to prepare the document.

9. (Currently Amended) The system of claim 7~~1~~, wherein the forms are dynamically alterable in response to information provided in response to previous requests.

10. (Canceled)

11. (Original) The system of claim 9, wherein the program executes at least one logical function.

12. (Original) The system of claim 11, wherein the program comprises a program logic and an insert text function that responds to the program logic to insert text into the document upon command when the program logic has received all information relating to a specified provision of the document.

13. (Original) The system of claim 12, wherein each of the program logic and insert text function execute at least one logical function.

14. (Original) The system of claim 12, wherein each of the program logic and insert text function and forms execute at least one logical function based on information obtained from the user in response to the forms.

15. (Original) The system of claim 11, wherein the program executes a plurality of logical functions or combinations of logical functions.

16. (Original) The system of claim 15, wherein the plurality of logical functions include the SELECT CASE function of Visual Basic.

17. (Original) The system of claim 12, wherein the insert text function modifies the document at all locations affected by the information relating to a specified issue in the document.

18. (Original) The system of claim 12, wherein the insert text function returns control to the program logic once text has been inserted into the document.

19. (Currently Amended) The system of claim 7 1, wherein the forms communicate with the data base to obtain information necessary for preparation of the document and the data base provides said first data to the forms necessary to prepare a respective form to solicit information from the user for the preparation of the document.

20. (Original) The system of claim 12, wherein the insert text function manipulates the document by providing instructions to the word processing application to manipulate the document.

21. (Original) The system of claim 12, wherein the insert text function directly manipulates the document.

22. (Original) The system of claim 17, wherein the program logic controls the data base to obtain the second data from the data base for displaying in a respective form at least one textual provision for insertion into the document.

23. (Original) The system of claim 1, wherein the document comprises a finance commitment letter.

24. (Original) The system of claim 1, wherein the user interface and controller comprises a programmed computer executing an application created using Visual Basic.

25. (Original) The system of claim 24, wherein the word processing application comprises Microsoft Word.

26. (Original) The system of claim 1, wherein the program includes at least one confirmation dialog to interface with the user to confirm at least one response to a previous request.

27. (Original) The system of claim 26, wherein after a user confirms that at least one response to the confirmation dialog is correct, the document is manipulated to alter the document in response to the information that is the subject of the confirmation dialog.

28. (Original) The system of claim 3, wherein the user can manipulate the template to make changes to the template.

29. (Original) The system of claim 28, wherein the changes are optionally permanent.

30. (Original) The system of claim 1, wherein the program allows the user to generate at least one alternative provision for insertion into the document.

31. (Original) The system of claim 1, wherein the program includes text for insertion into the document.

32. (Original) The system of claim 30, wherein the user has the option to use the at least one alternative provision once or can save the alternative provision permanently for future use.

33. (Original) The system of claim 32, wherein a single use provision is inserted into the document and not saved.

34. (Original) The system of claim 33, wherein a saved provision for future use is added to the data base.

35. (Original) The system of claim 1, wherein the data base has stored therein alternative provisions for insertion in the document.

36. (Original) The system of claim 1, wherein alternative textual provisions in the data base for the document are accessible by the user for modifying the alternative textual provisions or adding a further alternative textual provision.

37. (Currently Amended) The system of claim 36, wherein the user can access directly the alternative textual provisions in the data base when not responding to the sequence of requests.

38. (Currently Amended) The system of claim ~~7~~ 1, wherein the forms comprise at least one form having at least one entry location for inserting a monetary amount, and wherein the entry location is divided into a plurality of fields of increasing order, so that the user can insert a number into a selected field of highest selected order without inserting a number into lower order fields and wherein the lower order fields are automatically populated with a zero in the absence of user insertion of a number into such lower order fields.

39. (Original) The system of claim ~~7~~ 1, wherein the forms comprise at least one form allowing a user to input a date, the form comprising at least one entry area for month, day and year.

40. (Original) The system of claim 1, wherein the data base comprises Microsoft Access.



41. (Original) The system of claim 1, wherein the system comprises a general purpose digital computer having included therein the user interface and controller, the word processing application and the data base, the user interface and controller, word processing application and data base comprising software.

42. (Original) The system of claim 1, wherein the word processing application embeds in the document code to enable the user to continue modifying the document using only the word processing application.

43. (Original) The system of claim 1, wherein the program allows the user to make changes directly in the document while the sequence of requests is being presented to the user.

44. (Original) The system of claim 1, wherein the sequence of requests are dynamically alterable such that the user is not provided any redundant requests for information and any requests for information inconsistent with responses to previous requests.

45. (Original) The system of claim 1, wherein the system manipulates the document as requests are being presented to the user.

46. (Original) The system of claim 45, wherein the user interface and controller provides a simultaneous display to the user showing the requests to the user and at least a portion of the document as it is being prepared.

47. (Canceled)

48. (Original) The system of claim 1, wherein the program determines and directs the word processing application as to where in the document textual provisions are to be inserted, locations for the insertion of the textual provisions in the document

being dynamically added or changed by the program directing the word processing application.

49. (Canceled)

50. (Original) The system of claim 1, further wherein the program includes at least one mathematical calculation routine.

51. (Original) The system of claim 1, wherein the database optionally stores a table of responses to the requests to prepare a document, wherein the table of responses can be displayed to a user so that the user can change responses to selected ones of the requests, the program allowing the user to change selected responses whereby the document is redrafted based on the responses including the changed responses.

52. (Currently Amended) The system of claim ~~7~~ 1, wherein the database stores, together with selected alternative provisions, commentary to assist the user in using such alternative provisions in the document and further wherein such commentary is displayed in a form of the plurality of forms associated with the alternative provisions.

53. through 115. Canceled

## REASONS FOR ALLOWANCE

The following is a statement of reasons for the indication of allowable subject matter:

In interpreting the claims in light of the specification and applicant's arguments, the Examiner finds the claimed invention is patentably distinct from the prior art of record.

The prior art of record, Mukherjee, US Patent No. 6,314,415; Capsoft Inc., "HotDocs 5 Features", downloaded on April 13, 1999 from [www.capsoft.com/products/hotdocs/features.html](http://www.capsoft.com/products/hotdocs/features.html); Microsoft Corporation, Microsoft Visual Basic Programmer's Guide (1995); Porter, US Patent No. 6,473,892; Schoolcraft, US Patent No. 5,729,751, and Dipaolo et al. (Dipaolo), US Patent No. 5,367,619.

Mukherjee discloses a system and method includes a rule-based expert system that uses high-level rules for determining what graphical interface features should be displayed to a user (Abstract).

HotDocs 5 Features discloses a program that allows user to fill graphics-based HotDocs form templates created with HotDocs Pro. It also provides a master form created from a word processing document, and the document template contains the text

Art Unit: 2176

of the original document plus instructional scripts for correctly assembling a customized document.

Microsoft Visual Basic Programmer's Guides teaches that the SELECT CASE statement is a more efficient, readable programming construct than its alternative, the IFF.. Then.. ELSE statement.

Porter and Schoolcraft disclose a document assembly system assembles and prints one or more documents in response to input data describing the nature and circumstances of a transaction to be documented and describing the parties to the transaction.

Dipaolo discloses electronic data entry system employing an expert system to facilitate generation of electronic data forms with complex interrelationships between fields and subforms.

Claim 1 is allowed because the prior art of record does not expressly disclose alone or in combination a plurality of alternative provisions for the document wherein a program evaluates the alternative provisions in response to information provided by the user in response to the requests to determine which of the provisions to display in a form of the plurality of forms, and wherein the document is dynamically entered in

Art Unit: 2176

response to information provided by the user in response to the sequence of requests to modify the document to present the information provided by the user.

Claims 2-6, 8-9, 11-46, 48, and 50-52 further limit independent claim 1 and are considered allowable for the same reasons set forth for claim 1.

Any comments considered necessary by applicant must be submitted no later than the payment of the Issue Fee and, to avoid processing delays, should preferably accompany the Issue Fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Chau Nguyen whose telephone number is (571) 272-4092. The Examiner can normally be reached on Monday-Friday from 8:00 am to 5:00 pm.

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Joseph Feild, can be reached at (571) 272-4090.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Chau Nguyen  
Patent Examiner  
Art Unit 2176

  
JOSEPH FEILD  
SUPERVISORY PATENT EXAMINER